Nail Label ER314137568US

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

nder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

heet 1 of 6

C n	nplete if Known	
Application Number	10/037,146	
Filing Date	12/21/2001	
First Named Inventor	Painter	
Art Unit	2874	
Examiner Name	Eric K Wong	<u> </u>
Attorney Docket Number	CQC13NP	

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (# known)			rigules Appeal
		^{US-} 6,580,851-B1	06-17-2003	Vahala et al	
		^{US-} 6,633,696-B1	10-14-2003	Vahala et al	
		^{US-} 2001-0004411-A1	06-21-2001	Yariv	
		^{US-} 2001-0033587-A1	10-25-2001	Painter et al	
		^{US-} 09/788,303	filed 02-16-200	Sercel et al	
		^{US-} 2002-0041730A1	04-11-2002	Sercel et al	
		^{US-} 2002-0044739-A1	04-18-2002	Vahala et al	
		^{US-} 2002-0037132-A1	03-28-2002	Sercel et al	
		^{US-} 2002-0122615-A1	09-05-2002	Painter et al	
		^{US-} 4,142,775	03-06-1979	Ramaswamy et al	
		^{US-} 4,515,431	05-07-1985	Shaw et al	
		^{US-} 4,723,827	02-09-1988	Shaw et al	
	1	^{US-} 4,768,849	09-06-1988	Hicks	
		^{US-} 5,015,058	05-14-1991	Thorncraft et al	
		US- 5,138,676	08-11-1992	Stowe et al	
		^{US-} 5,281,247	01-25-1994	Haruhiko et al	
		^{US-} 5,343,490	08-30-1994	McCall	
-		^{US-} 5,446,579	08-29-1995	Lomashevitch	
		^{US-} 5,471,551	11-28-1995	Kragl et al	

		FORE	IGN PATENT DOCL	JMENTS			
Examiner Initials*	Cite No.1		Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ^{3 -} Number ^{4 -} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T°	
		FR 2,739,195	03-28-1997	Knight et al			
						<u> </u>	
· · · · · · · ·						<u> </u>	
						<u> </u>	

Examiner	 Date	
Signature	Considered	
O.ga.a.		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Mail Label ER314137568US

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERC
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERC
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERC
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERC
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERC
Complete if Kn wn

NFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 6	

Coi	mplete if Kn wn	
Application Number	10/037,146	
Filing Date	12/21/2001	
First Named Inventor	Painter	
Art Unit	2874	
Examiner Name	Eric K Wong	
Attorney Docket Number	CQC13NP	

				T DOCUMENTS	
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
	 	US- 5 475 704	40.40.4005	1	, iguios / ipped.
		^{US-} 5,475,704	12-12-1995	Lomashevitch	
		^{US-} 5,479,548	12-26-1995	Cote et al	
		^{US-} 5,546,414	08-13-1996	Pfeiffer	
		^{US-} 5,666,447	09-09-1997	Chuang et al	
		^{US-} 5,703,989	12-30-1997	Khan et al	
		^{US-} 5,708,670	01-13-1998	Pfeiffer	
		^{US-} 5,751,873	05-12-1998	Elias et al	
		^{US-} 5,822,482	10-13-1998	Atkeisson et al	
		^{US-} 5,926,496	07-20-1999	Ho et al	
		^{US-} 6,009,115	12-28-1999	Но	
		^{US-} 6,031,945	02-29-2000	You et al	
		^{US-} 6,052,495	04-18-2000	Little et al	
		^{US-} 6,101,300	08-08-2000	Fan et al	
		^{US-} 6,108,465	08-22-2000	lida et al	
		^{US-} 6,222,964	04-24-2001	Sadot et al	
		^{US-} 6,243,517	06-05-2001	Deacon	
		^{US-} 6,293,688	09-25-2001	Deacon	
		^{US-} 6,356,694	03-12-2002	Weber	
		US-			

	FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.1		gn Patent Document Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages		
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁶	
						<u> </u>	
- .						Ļ	
						┢	
						⊬	

Examiner	Date	
Signature	Considered	
_		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JAN 2

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Inder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. stitute for form 1449/PTO 3 2004

MFORMATION DISCLOSURE ATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 6

Complete if Known					
Application Number	10/037,146				
Filing Date	12/21/2001				
First Named Inventor	Painter				
Art Unit	2874				
Examiner Name	Eric K Wong				
Attorney Docket Number	CQC13NP				

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 0. 500 704	00 00 4074	Manageri	· · · · · · · · · · · · · · · · · · ·
		^{US-} 3,589,794	06-29-1971	Marcatili	
		^{US-} 4,720,160	01-19-1988	Hicks	
		^{US-} 5,039,192	08-13-1991	Basu	
		^{US-} 5,506,712	04-09-1996	Sasayama et al	
		^{US-} 5,875,272	02-23-1999	Kewitsch et al	
		^{US-} 6,078,605	06-20-2000	Little et al	
		^{US-} 6,400,856	06-04-2002	Chin	
		^{US-} 6,507,684	06-14-2003	Tapalian et al	
		^{US-} 6,321,011	11-20-2001	Deacon	
		^{US-} 6,324,204	11-27-2001	Deacon	
		^{US-} 6,341,189	01-22-2002	Deacon	
		^{US-} 6,373,872	04-16-2002	Deacon	
		^{US-} 6,393,185	05-21-2002	Deacon	
		^{US-} 6,393,186	05-21-2002	Deacon	
		US- 6,212,318	04-03-2001	Cryan	
		^{US-} 5,296,912	03-22-1994	Strandjord et al	
		US-			
		US-			•
		US-			-

		FORE	IGN PATENT DOCU	MENTS		
Examiner Initials*	Cite No 1	Cite Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ^{3 -} Number ^{4 -} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁶

Examiner	Date	
Signature	Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Mail Label ER314137568US

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

der the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

	te for form 1449/PTO		ct of 1995, no persons a	Complete if Known			
3005	16 101 101111 1449/F10			Application Number	10/037,146		
MAF	ORMATION	I DIS	CLOSURE	Filing Date	12/21/2001		
STA	ATEMENT E	BY A	PPLICANT	First Named Inventor	Painter		
	(1)	4		Art Unit	2874		
(Use as many sheets as necessary)				Examiner Name	Eric K Wong		
Sheet	4	of	6	Attorney Docket Number	CQC13NP		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		F. Agahi, B. Pezeshki, J. A. Kash, and D. W. Kisker, "Asymmetric Fabry-Perot modulator with a waveguide geometry", Electron. Lett. Vol. 32(3) 210 (1996)	
		Carl Arft, Diego R. Yankelovich, Andre Knoesen, Erji Mao, and James S. Harris Jr., "In-line fiber evanescent field electrooptic modulators", Journal of Nonlinear Optical Physics and Materials Vol. 9(1) 79 (2000)	
		Ming Cai, Guido Hunziker, and Kerry Vahala, "Fiber-optic add-drop device based on a silica microsphere whispering gallery mode system", IEEE Photonics Technology Letters Vol. 11 686 (1999)	
		Ming Cai, Oskar Painter, and Kerry J. Vahala, "Observation of critical coupling in a fiber taper to a silica-microsphere whispering-gallery mode system", Physical Review Letters, Vol. 85(1) 74 (2000)	
		N. Dubreuil, J. C. Knight, D. K. Leventhal, V. Sandoghdar, J. Hare, and V. Lefevre, "Eroded monomode optical fiber for whispering-gallery mode excitation in fused-silica microspheres", Optics Lett. 20 813 (1995)	
		S. V. Frolov, Z. V. Vardeny, and K. Yoshino, "Plastic microring lasers on fibers and wires", Applied Physics Letters Vol 72(15) 1802 (1998)	
		S. V. Frolov, A. Fujii, D. Chinn, Z. V. Vardeny, K. Yoshino, and R. V. Gregory, "Cylindrical microlasers and light emitting devices from conducting polymers", Applied Physics Letters, Vol 72(22) 2811 (1998)	
		Giora Griffel, "Synthesis of optical filters using ring resonator arrays", IEEE Photonics Technology Letts. Vol. 12 810 (2000)	
		Y. Kawabe, Ch. Spiegelberg, A. Schulzgen, M. F. Nabor, B. Kippelen, E. A. Mash, P. M. Allemand, M. Kuwata-Gonokami, K. Takeda, and N. Peyghambarian, "Whispering-gallery-mode microring laser using a conjugated polymer", Applied Physics Letters Vol 72(2) 141 (1998)	
		J. C. Knight, G. Cheung, F. Jacques, and T. A. Birks, "Phased-matched excitation of whispering gallery-mode resonances by a fiber taper", Optics Letters Vol. 22 1129 (1997)	

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Dunder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

100 CO					C mpl te if Known	Jei.
300	ne 101 101111 1449/P10		CLOSURE	Application Number	10/037,146	
NF	ORMATION	DIS	CLOSURE	Filing Date	12/21/2001	
STA	STATEMENT BY APPLICANT			First Named Inventor	Painter	
	(Una as many cha	ote ac n	ocoecand	Art Unit	2874	
(Use as many sheets as necessary)				Examiner Name	Eric K Wong	
Sheet	5	of	6	Attorney Docket Number	CQC13NP	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		M. Kuwata-Gonokami, R. H. Jordan, A. Dodabalapur, H. E. Katz, M. L. Schilling, R. E. Slusher, and S. Ozawa, "Polymer microdisk and microrong lasers", Optics Letters Vol 20(20) 2093 (1995)	
•		B.A. Little, S.T. Chu, H. A. Haus, J. Foresi, and JP. Laine, "Microring channel dropping filters", J. Lightwave Technology Vol. 15 998 (1997)	
		Y. Luo, D. C. Hall, L. Kou, L. Steingart, J. H. Jackson, O. Blum, and H. Hou, "Oxidized AlxGa1-xAs heterostructures planar waveguides", Appl. Phys. Lett. Vol. 75(20) 3078 (1999)	
		R. D. Pechstedt, P. St. J. Russell, T. A. Birks, and F. D. Lloyd-Lucas, "Selective coupling of fiber modes with use of surface-guided Bloch modes supported by dielctric multilayer stacks", J. Opt. Soc. Am. A Vol. 12(12) 2655 (1995)	
		R. D. Pechstedt, P. St. J. Russell, "Narrow-band in-line fiber filter using surface-guided Bloch modes supported by dielectric multilayer stacks", J. Lightwave Tech. Vol. 14(6) 1541 (1996)	
		B. Pezeshki, J. A. Kash, D. W. Kisker, and F. Tong, "Multiple wavelength light source using an asymmetric waveguide coupler", Appl. Phys. Lett. Vol. 65(2) 138 (1994)	
		B. Pezeshki, J. A. Kash, D. W. Walker, and F. Tong, "Wavelength sensitive tapered coupler with anti-resonant waveguides", IEEE Phot. Tech. Lett. Vol. 6(10) 1225 (1994)	
		B. Pezeshki, F. F. Tong, J. A. Kash, and D. W. Kisker, "Vertical cavity devices as wavelength selective waveguides", J. Lightwave Tech. Vol. 12(10) 1791 (1994)	
		B. Pezeshki, J. A. Kash, and F. Agahi, "Waveguide version of an asymmetric Fabry-Perot modulator", Appl. Phys. Lett. Vol. 67(12) 1662 (1995)	
		H. P. Xin and C. W. Tu, "GalnNAs/GaAs multiple quantum wells grown by gas-source molecular beam epitaxy", Appl. Phys Lett. Vol. 72(19) 2442 (1998)	

Examiner	Date	
Signature	 Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031

Sandini Sandini	ite for form 1449/PTO				required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known			
104 C26	ite 101 101111 1445/F 10			Application Number	10/037,146			
	ORMATION	I DIS	CLOSURE	Filing Date	12/21/2001			
STA	STATEMENT BY APPLICANT			First Named Inventor	Painter			
				Art Unit	2874			
	(Use as many sheets as necessary)			Examiner Name	Eric K Wong			
Sheet	6	of	6	Attorney Docket Number	CQC13NP			

		NON PATENT LITERATURE DOC			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title the item (book, magazine, journal, serial, symposium, cat number(s), publisher, city and/or coun	talog, etc.), date,	page(s), volume-issue	T ²
		Pochi Yeh, Amnon Yariv, and Chi-Shain Hong, "Electronic stratified media. I. General theory", J. Option			
		M. K. Chin and S. T. Ho, "Design and modelin single-mode microring resonators", J. Lightwa			
		ZF. Xiao, GY. Wu, D. Zhang, G. Zhang, ZH. Li, YL. Hao, wafer-to-wafer bonding with Ti/Ni intermediate bonding", Sens (1998)	and YY. Wang, ' sors and Actuators	'Silicon/glass A - Physical 71 123	
	_				
Examiner			Date		

Examiner	Date	
Signature	Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO). to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.